

FORM PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK
OFFICE (MODIFIED)

ATTORNEY'S DOCKET NUMBER

X16554

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5)

10/579028

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

INTERNATIONAL APPLICATION NO.

PCT/US2004/035528

INTERNATIONAL FILING

DATE 16 Nov 2004

(16.11.2004)

PRIORITY DATE CLAIMED

25 Nov 2003

(25.11.2003)

TITLE OF INVENTION: PEROXISOME PROLIFERATOR ACTIVATED RECEPTOR MODULATORS

APPLICANT(S) FOR DO/EO/US: CANADA Emily Jane, GOSSETT Lynn Stacy, MANTLO Nathan Bryan, SHI Qing, WANG Minmin, WARSHAWSKY Alan M, XU Yanping,



Applicant herewith submits to the U.S. Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☒ A declaration of the inventors 35 U.S.C. 371(c)(4) was provided in the PCT Request Form.
11. ☐ A copy of the International Preliminary Examination Report (IPER), including any annexes, and, if not in English, an English language translation of the annexes to the IPER under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 12. to 18. below concern document(s) or information included:

12. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98. ☒ Search Report/Written Opinion (ISA/EP)
13. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
14. ☐ Assignment has been recorded at reel _____, frame _____.
15. ☒ A **FIRST** preliminary amendment.
- ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
16. ☐ A Sequence Listing, 1.821 Statement, and diskette.
17. ☒ A change of power of attorney with attachment.
18. ☒ Other items or information:

Please amend the first page of the specification by inserting the following cross-reference after the title:
"This is the national phase application, under 35 USC 371, for PCT/US2004/035528, filed 16 November 2004, which, claims the benefit, under 35 USC 119(e), of US provisional application 60/525,020, filed 25 November 2003.

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.51) 10/579028		INTERNATIONAL APPLICATION NO. PCT/US2004/035528		ATTORNEY'S DOCKET NUMBER X16554	
19.	X	The following fees are submitted:		CALCULATIONS PTO USE ONLY	
(a)	Basic national fee (37 CFR 1.492(a)).....		\$300.00	\$300.00	
(b)	Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....		\$0	\$200.00	
		All other situations.....		\$200	
(c)	Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....		\$0	\$400.00	
		Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority.....		\$100	
		International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB.....		\$400	
		All other situations.....		\$500	
TOTAL AMOUNT (a + b + c) =				\$900.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS		NUMBER FILED	NUMBER EXTRA	RATE	
Total claims		22-20=	2	X \$50.00	\$100.00
Independent claims		1-3=		X \$200.00	\$
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$360.00	\$
TOTAL OF ABOVE CALCULATIONS =				\$100.00	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).				\$	
SUBTOTAL =				\$1,000.00	
Processing fee of \$130.00 for furnishing English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31).				\$	
\$40.00 per property +					
TOTAL FEES ENCLOSED =				\$1,000.00	
				Amount to be refunded	\$
				charged	\$
a.		A check in the amount of \$_____ to cover the above fees is enclosed.			
b.	X	Please charge my Deposit Account No. 05-0840 in the amount of <u>\$1,000.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed.			
c.	X	The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 05-0840. A duplicate copy of this sheet is enclosed.			
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO: ELI LILLY AND COMPANY PATENT DIVISION P.O. BOX 6288 INDIANAPOLIS, INDIANA 46206-6288 <u>10 May 2006</u> Date 36,711 REGISTRATION NUMBER			 SIGNATURE MaCharri Vorndran-Jones 317-276-1665 TELEPHONE NUMBER		 25885 PATENT TRADEMARK OFFICE

10/579028

IN THE UNITED STATES RECEIVING OFFICE (USRO)

Applicant(s): Emily Jane CANADA,
Lynn Stacy GOSSETT,
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AP20 Rec'd PCT/PTO 11 MAY 2006

International Application No.: PCT/US2004/035528

Filed: 16 November 2004 (16.11.04)

Invention: PEROXISOME PROLIFERATOR ACTIVATED RECEPTOR MODULATORS

Lilly Reference: X-16554

Earliest Priority Date: 25 November 2003 (25.11.04)

Certificate Under 37 C.F.R. § 1.10

Attention: DO/EO
Mail Stop PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir/Madam:

"Express Mail" mailing label number: EV 393/28362

Date of Deposit: 5-11-06

I hereby certify that the following attached paper or fee

Transmittal Letter to the United States Designated/Elected Office (US) concerning a filing under 35 U.S.C. 371 of the International Application identified above is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Olga M Franz
(Typed or printed name of person mailing paper)

Olga M Franz
(Signature of person mailing paper or fee)

10/579028

AP20 Rec'd PCT/PTO 11 MAY 2006

PTO/SB/96 (8-96) (MODIFIED)

Approved for use through 9/30/98, OMB 0651-0027

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

CERTIFICATE UNDER 37 CFR 3.73(b)

First Applicant: CANADA Emily Jane

Serial No.: PCT/US2004/035528

Application Date: November 16, 2004

US Nat'l Entry Date:

Entitled: PEROXISOME PROLIFERATOR ACTIVATED RECEPTOR MODULATORS

ELI LILLY AND COMPANY, an Indiana Corporation

(Name of Assignee)

(Type of Assignee, e.g. corporation, partnership, university, government agency, etc.)

certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above.

☐ The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame.

☒ The assignment is being submitted separately for recordation; a copy of this assignment is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

10 May 2006
Date

MaCharri Vorndran-Jones
MaCharri Vorndran-Jones
Patent Counsel